

Goals ⇨ Performance ⇨ Success

Staff Performance Management Process (Supervisor Perspective)

Performance Management is a cyclical process of setting expectations, ongoing tracking and feedback, and reviewing results. Performance expectations, in the form of key accountabilities, are established for each staff position as part of the position description. Additional expectations, in the form of goals and objectives, are established at the start of each performance cycle, usually on a calendar year basis. During the course of the performance cycle, staff members and their supervisors track progress and outcomes and discuss any performance issues as they arise. At the end of each performance cycle, performance results are formally documented, reviewed, and discussed in the annual performance appraisal. The *GPS* review process for research staff (research scientists, research engineers, and research scholars) is essentially the same except performance expectations include only goals and objectives.



Background

CY2010 marks the third year using the GPS electronic tool. The transformation from paper to online process began in mid-2006 with a survey of senior leadership and managers followed by focus groups to collect information and clarify the University's expectations for a performance management system. A *Performance Management Steering Committee* was convened in October 2006 and over the course of ten months the committee defined, developed, and advocated a new approach to performance management... an ongoing process that tied together key accountabilities, goals, and behavioral success factors with a focus on achieving results. This process became known as *GPS* (Goals → Performance → Success). A paper-based version of the *GPS* process was introduced to the campus community for the 2007 annual appraisal period. Optional for 2007, the *GPS* process was adopted by eighteen departments or functional areas (equating to just under half of the campus). Attention then turned to implementing an electronic tool based on the *GPS* process. Staff members and their supervisors now have access to the *GPS* tool throughout the year to track progress and record outcomes.

Your Role as Supervisor

Anyone with supervisory responsibility is also responsible for managing the performance of their direct reports (including research staff) following the process outlined below. Performance management means sitting down with each of your direct reports on a regular basis to discuss expectations, observed performance and behaviors, as well as outcomes and results. Interaction is required. Staff members want to hear feedback on how they are doing—both positive and negative—as appropriate. Many staff members have years of experience in their roles. Seek out their input. New supervisors, especially, will find the assistance provided by experienced staff members to be invaluable.

Snapshot of the *GPS* Performance Appraisal Process

Annual forms are launched for areas of the University between March 1 and October 1 each year. Most colleges and stems complete the annual form between October 1st and February 28th. Different areas of the University may choose to start later or end sooner than the official appraisal period. Each senior level leader will provide direction regarding the desired time frame for his/her particular stem.

Since the implementation of the Web-based *GPS* performance management tool, training has been and will continue to be provided in the form of general classroom sessions, hands-on workshops in a computer lab,

online presentations, and quick reference guides. Department heads assist in this process by encouraging departmental staff and supervisors to take advantage of the training offered. Some functional areas within the University prefer to schedule special training sessions for their staff and supervisors. Contact Human Resources at 83900 to make arrangements for more customized training.

Logging In – The *GPS* tool is accessible to staff and supervisors through the *Campus* Portal. Once logged into the Portal, users select the Employee tab and then *GPS on-line tool* from the *Goals → Performance → Success* channel. No additional sign-on is required.

Step 1: Working Document – Both the employee and the supervisor will receive an email message when the employee's form is available. The initial step is a collaborative step, meaning both the employee and the supervisor can add information to the form. However, while the supervisor can see everything that the employee has entered, the employee cannot see any comments the supervisor has entered until the form has been moved to the Mid-Year Review step.

Only the supervisor's view includes the button to forward the form to the Mid-Year Review step. (Forms can also be moved between steps by the System Administrators in the Human Resources Office.)

Note: There are no supervisor rating or employee self-rating fields visible in the form until the Annual Appraisal step later in the process.

Step 2: Mid-Year Review – This is also a collaborative step. At this point both the supervisor and the employee can view all entered information and comments. The Mid-Year Review workflow step is designed to support an optional meeting between employee and supervisor to discuss progress to date and status of goals established for the year or review period. A field is provided in the form to document the date of a mid-year discussion.

Regardless of whether a mid-year discussion/meeting occurs, the supervisor must forward the form to the second Working Document step. The Mid-Year Review workflow step serves as a prompt for an optional meeting/discussion but does not require the input of a date to move the form forward.

Step 3: Working Document – The second Working Document step is similar to the first Working Document step. It is recommended that you date any comments as they are entered throughout the year. When the next annual appraisal time rolls around, it is the supervisor's responsibility to move the form to the Annual Appraisal step.

When the supervisor moves the form to the Annual Appraisal step, sole access to the form is transferred to the employee. All earlier comments from the supervisor will not be visible to the employee until the form has been moved (by the supervisor) to the Performance Meeting step. Employees are encouraged to print a copy of the *GPS* form during the Mid-Year Review step in order to have earlier supervisor comments readily available during the Annual Appraisal step.

Step 4: Annual Appraisal – The appraisal process starts with the employee entering additional information, as needed, to report year-to-date progress and outcomes related to key accountabilities and established goals and objectives. This includes performance goals, developmental goals, and special projects. Employees (at the supervisor's discretion) also have the option of doing a self-appraisal. Certain elements can be given a priority weighting and performance can be self-rated by the employee. For most staff, the weighted/rated elements include the key accountabilities and special projects. [Performance goals relate to the position's key accountabilities and, therefore, are not rated separately.] For research staff, the weighted/rated elements include both performance goals (instead of key accountabilities) and special projects.

When ready, the employee sends the *GPS* form electronically to his/her supervisor which also transfers sole access to the supervisor. The supervisor reviews the information documented by the employee. The supervisor can add or adjust the priority weighting factors, select appropriate performance ratings, and add commentary. All key accountabilities (performance goals for research staff) must have priority weighting

factors adding up to 100%. Likewise, any special projects must have priority weighting factors also adding up to 100%.

Upon completion of the supervisor's evaluation, the supervisor moves the form forward to the next step in the process, the Performance Meeting step.

Step5: Performance Meeting – In terms of the working relationship between supervisors and employees, the performance meeting step is an important component of the formal annual appraisal. During this step, the *GPS* form is accessible to both the employee and supervisor. The supervisor is responsible for scheduling a face-to-face meeting with the employee to review and discuss the evaluation. The conversation should focus on points of agreement as well as points of divergence. During the performance meeting step, additional comments and revisions can be made in the *GPS* form.

Another important part of the performance discussion is establishing expectations for the next performance cycle. Once the appraisal form has been moved to the performance meeting step, additional sections appear to document expectations for the next performance period. Are there any desired changes in the key accountabilities of the position or in the priority weightings of those accountabilities? What are the specific goals and objectives for the next 6 to 12 months? Any special projects? Required learning?

Step 6: Signature – After the performance meeting has taken place and expectations for future performance have been established, the supervisor moves the form to the signature step, which sends the form to the employee for an electronic signature. The employee has another opportunity to review the *GPS* form and add final comments before sending it back to the supervisor. The supervisor may also add some final comments as part of the electronic sign-off. The supervisor then moves the *GPS* form to the Annual Appraisal Complete step, which closes the form.

Once the appraisal form is closed, supervisors and employees can view the form but make no additional changes. The completed form may be printed, if desired, or a copy sent electronically to the next higher manager or other manager in the *GPS* organizational hierarchy.

Dashboards and Reports

Supervisors and managers have access to several electronic dashboards within the *GPS* tool. During the appraisal period, dashboards show which appraisals have been completed, which are still in progress, and individual and aggregate overall ratings data from completed forms. Throughout the year, the dashboards provide quick access to view key accountabilities, goals, and the status of goals and projects for all staff members within your department and/or functional area.

The *GPS* Tool also features a number of standardized reports. These can be accessed through the “Reports” tab but will also appear when you click on specific areas of the dashboard charts.

